



#5/Supp IDS
4-23-03
C. Moore

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Vlad J. Novotny, Yee-Chung Fu and Zuo Wang
Assignee: Active Optical Networks, Inc.
Title: "Micro-Electro-Mechanical Variable Optical Attenuator"
Serial No.: 10/010,786 Filed: 11/09/2001
Examiner: Valencia, Daniel E. Tel: 703-305-4399
Docket No.: 13441-002001 Art Unit: 2874

Box DD
Commissioner For Patents
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §1.56, §1.97 and §1.98, Applicants bring the 31 documents listed on the enclosed form PTO-1449 to the Examiner's attention in the above-captioned application. Citation of the listed documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant application;
2. a representation that a search has been made; or
3. an admission that the information cited is, or is considered to be, material to patentability as defined in §1.56(b).

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box DD, Commissioner for Patents, Washington, D.C. 20231.

4/15/03
Date

Laurie Moreno
Laurie Moreno

Respectfully submitted,

Arthur J. Behiel

Arthur J. Behiel
Attorney for Applicants
Reg. No. 39,603

TECHNOLOGY CENTER 2800

APR 21 2003

RECEIVED

04/18/2003 NROCHA1 00000015 10010786

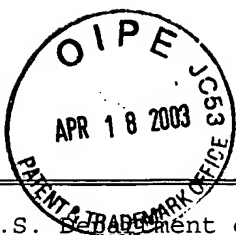
01 FC:1806

~~180.00 OP~~

04/18/2003 NROCHA1 00000016 10010786

01 FC:1806

180.00 OP



U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"MICRO-ELECTRO-MECHANICAL VARIABLE OPTICAL ATTENUATOR"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
	AA	6,301,403 B1	10/09/01	Heanue et al.	385	18	
	AB	6,253,001 B1	06/26/01	Storrs T. Hoen	385	17	
DV	AC	6,028,689	02/22/00	Michalicek et al.	359	224	
DV	AD	5,872,880	02/16/99	Ronald S. Maynard	385	88	
DV	AE	6,283,601 B1	09/04/01	Hagelin et al.	359	871	

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AF							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AG	"ROUTING PACKETS WITH LIGHT," Daniel J. Blumenthal. Scientific American, pages 96-99. January 2001.
AH	"Construction and performance of a 576x576 single-stage OXC," Herzel Laor. LEOS, San Francisco, California, 3 pages. November 8, 1999.
AI	"Application of micro- and nanotechnologies for the fabrication of optical devices," Wolfgang Ehrfeld and Hans-Dieter Bauer. SPIE Vol. 3276, page 2 and pages 4-14.
AJ	"PERFORMANCE OF A 576x576 OPTICAL CROSS CONNECT," Laor, et al. NFOEC, Chicago, Illinois, pages 1-5. September 26, 1999.
AK	"Control and shape design of an electrically-damped comb drive for digital switches," Yijian Chen. Proceedings of SPIE Vol. 4118, 2000. Pages 387-394.

Examiner	Date Considered
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

RECEIVED
 APR 21 2003
 TECHNOLOGY CENTER



U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"Micro-Electro-Mechanical Variable Optical Attenuator"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
AL						

Foreign Patent Documents

							Translation	
	Document Number	Date	Country	Class	Subclass	Yes	No	
AM								

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AN	"THE RISE OF OPTICAL SWITCHING," David J. Bishop et al. Scientific American, pages 88-94. January 2001.
AO	"A LARGE-DEFLECTION ELECTROSTATIC ACTUATOR FOR OPTICAL SWITCHING APPLICATIONS," John D. Grade, Hal Jerman and Thomas W. Kenny. Presented at Hilton Head, 2000. 4 pages.
AP	"FLIP CHIP CHALLENGES," Steve Bezuk, PH.D. General Manager, Applied Technology Development and Flip Chip Kyocera America, Inc. First published in HDI Magazine, February 2000. 6 pages.
AQ	"MEMS Feedback Control Using Through-Wafer Optical Device Monitoring," J.M. Dawson, et al. Proceedings of SPIE Vol. 4178, 2000. Pages 221-227.
AR	"A FLAT HIGH-FREQUENCY SCANNING MICROMIRROR," Robert A. Conant, et al. 2000 Solid-State Sensor & Act Workshop, Hilton Head, S.C., June 4-8, 2000.
AS	"The Surface/Bulk Micromachining (SBM) Process: A New Method for Fabricating Released MEMS in Single Crystal Silicon," Sangwoo Lee, et al. Journal of Microelectromechanical Systems, Vol. 8, No. 4, December 1999. Pages 409-416.
AT	"MEMS actuators for silicon micro-optical elements," Norman T. Tien and Daniel T. McCormick. Proceedings of SPIE Vol. 4178, 2000. Pages 56-67.

Examiner	Date Considered
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

RECEIVED
 APR 21 2003
 TECHNOLOGY CENTER 2800



U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"Micro-Electro-Mechanical Variable Optical Attenuator"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
DV	AU	5,724,123	03/03/98	Tanaka	356	5.01	
DV	AV	6,320,993B1	11/20/01	Laor	385	16	
DV	AW	6,252,466 B1	06/26/01	J. Patrick Kawamura	331	25	
DV	AX	6,097,859	08/01/00	Solgaard et al.	385	17	

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AY							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AZ	"Lightweight, Optically Flat Micromirrors for Fast Beam Steering," Jocelyn T. Nee, et al. Presented at IEEE/LEOS Optical MEMS 2000 Conference, August 21-4, 2000, Kauai, Hawaii, USA. 2 pages.
BA	"Optical MEMS for Optical Communications - Trends and Developments," Veljko Milanovic. Adriatic Research Institute. Pages 2-6. Downloaded December 20, 2001.
BB	"Silicon micromachines for lightwave networks: the little machines that will make it big," by David Bishop. December 2000. SPIE's Optics & Information Systems. 8 pages.
BC	Topical Review "The future of MEMS in telecommunications networks," James A. Walker. J. Micromech, Microeng.10(2000)R1-R7. Printed in the UK.
BD	D.J. Bishop Presentation, "Silicon Micromachines for Lightwave Networks: Can Little Machines Make it Big?" Lucent Technologies, Bell Labs Innovations. 83 pages. February, 1999.

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

RECEIVED
 APR 21 2003
 TECHNOLOGY CENTER 2890



U.S. Department of Commerce, Patent and Trademark Office	Serial No.: 10/010,786
	Filing Date: 11/09/2001
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Inventors: Novotny, et al.
"Micro-Electro-Mechanical Variable Optical Attenuator"	Group Art Unit: 2874
	Examiner Name: Valencia, Daniel E.
	Attorney Docket No.: 13441-002001

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date, If Appropriate
DV	BE	6,075,239	06/13/00	Aksyuk et al.	250	229	
DV	BF	6,246,826 B1	06/12/01	O'Keefe et al.	385	140	
DV	BG	6,173,105 B1	01/09/01	Aksyuk et al.	385	140	
	BH						

Foreign Patent Documents

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	BI							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	BJ	"Fiber coupling (1 x 2 beam splitter)." Development Editor: Marleen Madou; Publisher: Ron Powers; Project Editor: Paul Gottehrer; and Cover Design: Denise Craig. 1997 by CRC Press LLC. 4 pages.
	BK	United States Patent Application Publication, "Latching Apparatus for a MEMS Optical Switch," by Zhang et al. Pub. No.: US 2002/0172452 A1, Pub. Date: November 21, 2002. Appl. No.: 09/860,300, filed May 18, 2001.
	BL	
	BM	
	BN	

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

RECEIVED
 APR 21 2003
 TECHNOLOGY CENTER 2800